



DEPARTMENT OF THE NAVY  
OFFICE OF THE UNDER SECRETARY  
1000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-1000

AAUSN/FMD  
SRB-12-02  
4 Dec 09

MEMORANDUM FOR DISTRIBUTION

Subj: GUIDANCE FOR THE PREPARATION AND SUBMISSION OF BUDGET ESTIMATES  
FOR THE FISCAL YEAR (FY) 2012 SECRETARIAT REVIEW BOARD (SRB)

Ref: (a) Memorandum dated 4 Dec 09, "Guidance for the fiscal Year (FY) 2012 Secretariat Review Board (SRB) Resource Sponsor (RS) Proposal Preparation and Submission"

Encl: (1) SRB Emergent Issue Questionnaire  
(2) Military Composite Standard Pay and Reimbursement Rates  
(3) SRB Baseline Exhibit  
(4) SRB Detailed Instructions  
(5) SRB Draft Timeline  
(6) Directions for use of SARMIS Unfunded Issue Tracking Module (UITM)

1. Purpose. To provide instructions on the SRB process for the FY 2012 program/budget cycle.
2. Background. In accordance with reference (a), which provides overarching guidance and principles that govern the SRB process, the Department of the Navy top-line figures remain unpublished at this time. Therefore, activity program managers should assume SRB 11 funding levels when planning for SRB 12 requirements. Managing resources within existing controls and establishing realistic expectations for funding levels is highly encouraged. To this end, controlling costs and garnering offsets to address the most critical needs should take precedence when prioritizing mission requirements.
3. Guidance. Building upon the success of eight previous SRB program/budget review cycles, the FY 2012 SRB process calls for submission of SRB exhibits and emergent unfunded requirements to the AAUSN Financial Management Division (FMD) by no later than 29 January 2010. In formulating submission materials, activities should select the most cost effective methods for operating programs and ensure that savings are being harvested from efficiencies. Further, to improve an issue's chance of being approved, identify the following information: execution phasing plan, applicable supporting information, statutory requirements, schedule times, direct return on investments, performance measures, and offsets from currently funded programs. The importance of presenting rigorously assessed requirements with explicit cost-benefit analysis cannot be overemphasized. Enclosure (1) has been developed to help your staffs address these criteria. Additionally, please be aware that:
  - a. SRB12 covers funding profiles for fiscal years 2012 through 2017.
  - b. Department of the Navy (DON)-wide or "must pay" bills for programs that you are responsible for managing will be given first consideration, and they will be prioritized ahead of any other issues you submit.
  - c. Requirements or capabilities directed by SECNAV or mandated by Office of the Secretary of Defense (OSD) guidance should be accompanied by source documentation defining the new

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requirement or directing stand-up of the new capability.

- d. Historically under-executing programs must submit an explanation and recovery plan.
- e. Military Manpower issues should use the DON Programming Rates contained in enclosure (2).

4. Scope and Content. For purposes of these reviews, SRB submissions are required for all Operation and Maintenance, Navy (O&M, N), Other Procurement, Navy (OP,N) and Research, Development, Test and Evaluation, Navy (RDT&E, N) accounts. Completion of the SRB exhibit, enclosure (3), will provide a detailed breakout of resources consistent with your FY 2011/2012 OSD Budget Controls. The SRB Exhibit describes activity baseline resources, including Information Technology (IT) resources and Navy/Marine Corps Intranet (NMCI) resources. Detailed information on completing the SRB exhibit template and emergent unfunded requirements is contained in enclosure (4).

5. Action. Please submit requested information no later than the dates provided in the following schedule and enclosure (5). Missed deadlines will result in deferral of your issues until the next programming cycle.

- |             |  |
|-------------|--|
| 29 January  | - Completed SRB exhibits and SRB Emergent Requirements entered into SARMIS Unfunded Issue Tracking Module (UITM). Enclosure (6) provides directions on the use of UITM |
| 29 January  | - SRB Emergent Issue Questionnaire due to AAUSN FMD  |
| 29 February | - Submission of NC4 and MOA/MOU for proposed functional transfers due  |
| 5 February  | - Issues grouped by family will be sent to cognizant SRB Member for endorsement  |
| 19 February | - Memorandum of Endorsement due to AAUSN   |
| Mid April   | - Briefing to Principal Deputies'  |
| Late April  | - Briefing to ASN/GC/DUSN  |
| Early May   | - Briefing to the SECNAV/UNSECNAV  |

Additional guidance and assistance in preparing information is available from Ms. Amy Lummer, at amy.lummer@navy.mil or (703) 693-0683.



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Director, Financial Management Division

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## **SRB 12 Emergent Issue Questionnaire**

### **DON Goals & Objectives**

What SECNAV, CNO, CMC, goals and objectives does this program requirement support?

*Explanation:*

*Evidence:*

What will be the return on investment (ROI) if this issue is approved for funding by the Secretary of the Navy? How is ROI calculated? How will it be measured and reported back to the SRB after implementation?

If you can not calculate a return on investment, what budget offsets can be generated to fund this program requirement?

Has the appropriate Assistant Secretary of the Navy, the General Counsel of the Navy or SRB member been informed of this issue?

### **Program Purpose & Design**

What is the program purpose?

*Explanation:*

*Evidence:*

What specific and existing problem, interest or need does the program address?

*Explanation:*

*Evidence:*

What efforts have been made to avoid redundancy or duplicative efforts, i.e., have you looked for synergy with any other DON or DoD organizations that could share the costs of this initiative/program?

*Explanation:*

*Evidence:*

What measures of efficiency and effectiveness have you used or do you plan to use to measure your program? How will you know if your program is successful?

or

What are/will be the annual performance goals for your program?

*Explanation:*

*Evidence*

What is the Phasing Plan for this effort?

What are your current obligation rates? If they have historically been below plan, please provide an explanation and a mitigation plan.

### **Military Composite Standard Pay and Reimbursement Rates\***

<b>Duty Status</b>	<b>\$2012</b>	<b>\$2013</b>	<b>\$2014</b>	<b>\$2015</b>	<b>\$2016**</b>	<b>\$2017**</b>
Enlisted	69973	72565	75155	77708	77708	77708
Officer	142739	146466	151490	156649	156649	156649

\* Source Program Budget Information System

\*\* Straightlined pending official rates

# Secretariat Review Board Baseline Exhibit

(Dollars in Thousands)

UIC:

Activity:

	Budgeted Resources				Cumulative Planned FY10 Obligations/Hiring Plan			
	FY09	FY10	FY11	FY12	Q 1	Q 2	Q 3	Q 4
<b>Total Non-IT Resources</b>								
<b>Type of Cost</b>								
<b>Civilian Personnel</b>								
ES								
WY (FTE)								
\$								
<b>Reimbursable Personnel</b>								
ES								
WY (FTE)								
\$								
<b>Contract Manpower</b>								
On-Site Count								
ES								
WY (FTE)								
\$								
Off-Site Count								
ES								
WY (FTE)								
\$								
<b>Military Personnel</b>								
Officer ES								
Enlisted ES								
<b>Other Contracts (25.21)</b>								
Contracted Effort 1								
Contracted Effort 2								
Insert rows listing each contracted effort								
TOTAL	0	0	0	0	0	0	0	0
<b>Other Costs (25.21)</b>								
Cost Category 1	0							
Cost Category 2								
Insert rows listing each cost								
TOTAL	0	0	0	0	0	0	0	0
<b>Other Intragov'tal Purchases (25.31)</b>								
Purchase Category 1	0							
Purchase Category 2								
Insert rows listing each purchase								
TOTAL	0	0	0	0	0	0	0	0
<b>Travel</b>								
	0							
TOTAL	0	0	0	0	0	0	0	0
<b>All Other (Communications / Supply / Maintenance / etc...)</b>								
TOTAL	0	0	0	0	0	0	0	0
<b>TOTAL O&amp;M, N</b>	0	0	0	0	0	0	0	0
<b>TOTAL REIMBURSABLE</b>	0	0	0	0	0	0	0	0
<b>O&amp;M, N Controls, Less IT</b>								
<b>Reimbursable Controls, Less IT</b>								



## Information Technology Resources

UIC:

Activity:

Total IT Resources Type of Cost	Budgeted Resources				Cumulative Planned FY10 Obligations/Hiring Plan			
	FY09	FY10	FY11	FY12	Q 1	Q 2	Q 3	Q 4
<b>Civilian Personnel</b>								
ES	0							
WY (FTE)								
\$								
<b>Reimbursable Personnel</b>								
ES	0							
WY (FTE)								
\$								
<b>Contract Manpower</b>								
On-Site Count								
ES								
WY (FTE)								
\$								
Off-Site Count								
ES								
WY (FTE)								
\$								
<b>Military Personnel</b>								
Officer ES								
Enlisted ES								
<b>NMCI Seats</b>								
Number of Seats Ordered								
<b>Other Contracts (25.21)</b>								
Contracted Effort 1								
Contracted Effort 2								
Insert rows listing each contracted effort								
TOTAL	0	0	0	0	0	0	0	0
<b>Other Costs (25.21)</b>								
Cost Category 1								
Cost Category 2								
Insert rows listing each cost								
TOTAL	0	0	0	0	0	0	0	0
<b>Other Intragov'tal Purchases (25.31)</b>								
Purchase Category 1								
Purchase Category 2								
Insert rows listing each purchase								
TOTAL	0	0	0	0	0	0	0	0
<b>Travel</b>								
List any major or recurring trips								
TOTAL	0	0	0	0	0	0	0	0
<b>All Other (Communications / Supply / Maintenance / etc...)</b>								
TOTAL	0	0	0	0	0	0	0	0
<b>IT O&amp;M, N</b>	0	0	0	0	0	0	0	0
<b>IT REIMBURSABLE</b>	0	0	0	0	0	0	0	0
<b>IT O&amp;M, N Controls</b>								
<b>IT Reimbursable Controls</b>								



<b>NMCI Control</b>	<b>NMCI Order</b>			
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>
<b>Total Civilian Personnel (from above)</b>				
ES	0	0	0	0
<b>Total Reimbursable Personnel (from above)</b>				
ES	0	0	0	0
<b>Total Contract Manpower (from above)</b>				
On-Site Count	0	0	0	0
<b>Total Military Personnel (from above)</b>				
Officer ES	0	0	0	0
Enlisted ES	0	0	0	0
<b>NMCI Seat Numbers</b>				
Total Potential ES requiring Seats *	0	0	0	0
Total ES requiring Seats				
Less Overseas Billets				
Training Seats				
Conference Room				
Dual Seats				
Other Seats (describe below)				
Total Required NIPR Seats	0	0	0	0
Total Required SIPR Seats				
<b>NMCI Seats</b>				
Number of Seats Ordered	0	0	0	0
Number of Seats Received				
<b>(\$000)</b>				
<b>NMCI Order Seat \$</b>				
<b>NMCI Order Peripherals \$</b>				
<b>Total NMCI Order</b>	0	0	0	0
<b>NMCI Direct Control</b>				
<b>NMCI Reimbursable Control</b>				

Description of Other NMCI Seats required: \* Total from above of Civilian End Strength, Reimbursable End Strength, On-Site Contractor End Strength, Officers and Enlisted

\* The acceptance of this template does not endorse resource realignments nor changes.



## SRB 12 Detailed Instructions

SRB Baseline Exhibit: The SRB Baseline Exhibit asks for specific details, such as the contract name and the exact other cost on discrete efforts that normally aggregate under object classes for “other contracts” (25.21/989), “other costs” (25.21/998), and “other intra-governmental purchases” (25.31/987). This level of specific detail allows development of performance criteria and metrics to measure the effectiveness of current resource allocations and their impact on mission.

Unfunded Requirements: For convenience, all emergent unfunded/underfunded requirements, Civilian Substitution, and Functional Transfers must be prepared electronically in the SARMIS Unfunded Issue Tracking Module (UITM). All current year and future-years unfunded requests require a completed SRB Emergent Issue Questionnaire (one per issue).

Presenting evidence of how an investment will advance corporate objectives is a much more effective strategy to secure funding than describing the impact of not funding a particular program. The importance of presenting rigorously assessed requirements with explicit cost-benefit analysis cannot be overemphasized. Successful issues will thoroughly address the criteria used to analyze and score all SRB Issues: timeliness, quality, urgency, alignment with mission, activity ranking, analysis of alternatives, measurability, SRB member endorsement ranking, and overall issue analysis. If submitting a group of issues that are related to one function, please consolidate the requirement into a single issue submission, rather than breaking up the requirement into various issues.

Memorandum of Endorsement: After issues are received, an overall Memorandum of Endorsement from your representative SRB member is required. Similar to SRB 11, AAUSN FMD will provide each SRB member with a list of issues under their cognizance, and the endorsement memorandum will be developed and ranked from that overall list.

Functional Transfers: All functional transfers affecting SRB resources must be submitted via UITM to AAUSN FMD with all other emergent funding requirements. A draft NC-4 and signed Memorandums of Understanding (MOU) or Memorandums of Agreement (MOA) between all parties for SRB consideration must be received no later than 1 March 2009.

Civilian and Military Manpower: Activities should integrate MP,N and RP,N requirements with those from all other appropriations affecting a program area into a single issue for submission.

Activities must use enclosure (2), Navy Composite Rates, to calculate MP,N and RP,N savings. Activities must identify all O&M,N dollars required for civilian costs for any proposed CIVSUB action.

NMCI: All NMCI resources should be detailed in the NMCI portion of the template. The sections that have the phrase “(from above)” in the title will automatically populate with previously entered data. Under “NMCI Seat Numbers” the first line will be populated. In the “Total ES requiring Seats” please put the number of personnel actually requiring seats, this may not equal the number of personnel from “Total Potential ES requiring Seats”. In the “Training Seats” section, declare the number of seats used for training (such as in a training room, etc). In “Other Seats (describe below)” all seats not accounted for in “Total ES requiring Seats” and “Training Seats” should be counted (such as a conference room). An explanation of these seats should be in the “Description” section. The amounts spent on seats versus peripherals should be split into the appropriate lines.

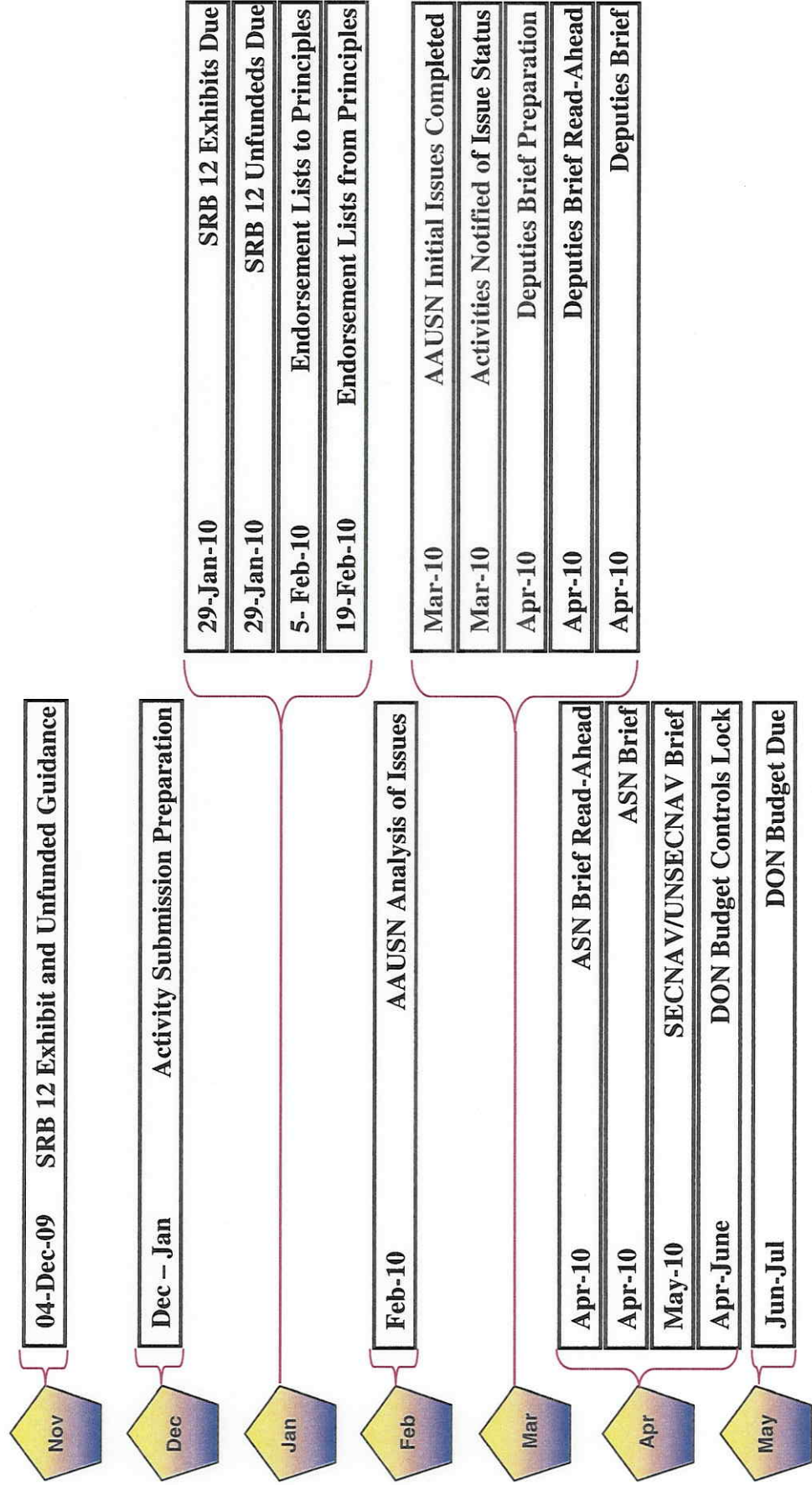


# Secretariat Review Board 2012 Schedule

Secretariat Review Board



SRB 2012





## SARMIS Unfunded Issue Tracking Module (UITM)

Fiscal Year 2012 Secretariat Review Board Submission; Directions on use of UITM.

1. **Purpose:** AAUSN has an automated module to input and track unfunded budget requirements. This document provides general instructions about UITM and how to submit unfunded requirements as part of your budget submission.

2. **Access:** NMCI users can access UITM directly through SARMIS at <https://aausnfmweb1.donhq.navy.mil/sarmis.html>.

- a. "User ID" and "Password" have already been created for most users.
- b. If an account has not been created for you, please contact Amy Lummer (703) 693-0683 for assistance in account creation.

3. **Getting Started:** Go to "Help/User's Guide" for "quick start" information on how to get started. Brief synopsis:

- a. Click on "File" and "New Issue" to launch New Issue Wizard.
- b. Complete all information on "Main" tab, using drop down lists when available.
- c. Enter description on "OM-6 Format" tab, using three tabs along left hand side.
- d. Use "Dollars", "Manpower", and "NMCI Seat" tabs to identify deficiencies.
  - (1) Click on "Add Fiscal Year" or "Delete Fiscal Year", as necessary.
  - (2) Double click on "LID", "ES/FTE", and "Type" to display choices.
- e. You may add additional supporting information, in excess of submitted text, via the attachments tab by uploading Word, Excel or PowerPoint documents.
- f. Click "Finish" when complete or to save and come back later.

Note: Users can only access/view issues under UIC(s) for which they are authorized. Submission folders will not be visible to users unless they have submitted an issue.

4. **Updates:** You may either create a new issue or copy an existing issue from a previous submission.

- a. **New Issue:** A new issue is created via the "New Issue Wizard", which is accessed by clicking on "File" and selecting "New Issue":

Enclosure (6)

- (1) Main - All information in the Main tab must be completed in order to save the issue. Please use the drop down boxes when provided.
  - (2) OM-6 Format – Provide a brief description, justification and impact of the issue. There are additional tabs along left side, please submit verbiage in appropriate area.
  - (3) Attachment – (New) Additional supporting or explanatory information may be submitted, viewed and managed using the “Attachment” tab. This “back up material” may be in Word, Excel or PowerPoint.
    - To attach the file, click on “View & Manage”
    - Then “Add Attachment”
    - Click “Browse” to find and select the file from your computer.
    - Select “Open”
    - Then choose “Upload The Files”
  - (4) Requirements
    - (a) Dollars – Please submit funding request in OP-32 detail by fiscal year and line item description (LID). Double clicking in the LID area will produce a drop down menu. Amounts are to be submitted in thousands.
    - (b) Manpower – Similar to dollars but used to submit ES/FTE requirements.
    - (c) NMCI – Utilized to submit the number and type of additional NMCI seats required.
- b. **Copying an Issue:** If you have previously submitted a similar issue, you may copy that issue into the relevant folder.
- Select the issue you wish to copy from the tree menu
  - Right click (from the tree menu)
  - Choose “Copy Issue”
  - From the drop down menu select relevant folder, “SRB 2012”
  - Select “OK”
  - Click “Yes”
  - Click “OK”
  - New folder and issue should appear in tree menu

Please submit your unfunded requirements via the above link(s) **NLT Friday, 29 January 2010**. The success of this module is dependent on your use and feedback. Any UITM questions may be directed to your FMD Analyst.

Enclosure (6)